

Rec'd PCT/PTO 29 SEP 2005

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

Date of Mailing:  
29 September 2005

#5

Attorney Docket No.  
0380-P03604US00

U.S. Application No.(If Known)  
10/528,603

Express Mail Label No.:  
EL997353657US

Int'l Application No.  
PCT/GB2003/004062

Int'l Filing Date  
22 September 2003

Priority Date Claimed  
20 September 2002

TITLE OF INVENTION

Solubilising Polysaccharides Substituted with Hydrophilic and Hydrophobic Groups

Applicant(s) for DO/EO/US

UCHEGBU, Ijeoma; SCHATZLEIN, Andreas; STEWART, Ailsa; and WILSON, Clive

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

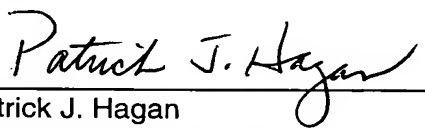
**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
  - Copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
  - Certificate of Express Mailing
  - Check in the amount of \$130.00
  - Postcard

U.S. Application No. 10/528,603		International Application No. P GB2003/004062		Docket No. 0380-P03604US00	
The following fees are submitted:					
21. <input checked="" type="checkbox"/> BASIC NATIONAL FEE .....				\$300	\$300
22. <input checked="" type="checkbox"/> Examination Fee					
If international preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) .....				\$100	\$200
All other situations .....				\$200	
23. <input checked="" type="checkbox"/> Search Fee					
Search fee (37 CFR 1.445(a)(2) has been paid on the international application to the USPTO as a International Searching Authority. ....				\$100	\$500
International Search Report prepared by International Search Authority other than USPTO, but provided to Office by Applicant(s) .....				\$400	
All other situations .....				\$500	
Total of 21, 22, 23				\$0	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program filed in an electronic medium). Total Sheets      Extra Sheets      No. of each add'l 50 (round up to whole number) -100 =                      /50 =                      x \$250				\$0	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date				\$130	
Claims	Number Filed	Number Extra	Rate		
Total Claims	-20	= 0	50	\$0	
Independent Claims	-3	= 0	200	\$0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360		
<b>TOTAL OF ABOVE CALCULATIONS</b>				\$130	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½					
<b>SUBTOTAL =</b>				\$130	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f))				\$0	
<b>TOTAL NATIONAL FEE =</b>				\$130	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property				\$0	
<b>TOTAL FEES ENCLOSED =</b>				\$130	

- a. ☒ A check in the amount of \$130 to cover the above fees is enclosed
- b. ☐ Please surcharge Deposit Account No. 04-1406 in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.

SEND ALL CORRESPONDENCE TO: **CUSTOMER NUMBER 000110** to the attention of the individual listed below.

  
 Patrick J. Hagan  
 Registration No. 27,643



## UNITED STATES PATENT AND TRADEMARK OFFICE

Rec'd PCT/PTO 29 SEP 2005

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/528,603	Ijeoma Uchegbu	0380-P03604US00

INTERNATIONAL APPLICATION NO.

PCT/GB03/04062

LA. FILING DATE

PRIORITY DATE

09/22/2003

09/20/2002

000110

DANN, DORFMAN, HERRELL & SKILLMAN  
 1601 MARKET STREET  
 SUITE 2400  
 PHILADELPHIA, PA 19103-2307

CONFIRMATION NO. 4005

371 FORMALITIES LETTER

\*OC000000016822105\*

\*OC000000016822105\*

Date Mailed: 08/22/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 03/21/2005
- Copy of the International Search Report filed on 03/21/2005
- Preliminary Amendments filed on 03/21/2005
- U.S. Basic National Fees filed on 03/21/2005
- Priority Documents filed on 03/21/2005
- Specification filed on 03/21/2005
- Claims filed on 03/21/2005
- Abstracts filed on 03/21/2005
- Drawings filed on 03/21/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- **\$130 Surcharge.**

- This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c) Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment specifically directing its entry into the application and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

**For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:**

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/528,603	PCT/GB03/04062	0380-P03604US00

JCO6 Rec'd PCT/PTO 29 SEP 2005

**DANN DORFMAN HERRELL AND SKILLMAN, P.C.**

1601 Market Street, Suite 2400  
Philadelphia, Pennsylvania 19103-2307  
Telephone: (215) 563-4100  
Facsimile: (215) 563-4044

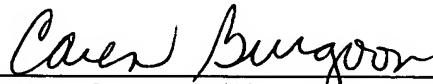
**CERTIFICATE OF MAILING  
BY EXPRESS MAIL UNDER 37 C.F.R. \$1.10**

NUMBER OF EXPRESS MAIL MAILING LABEL: EL997353657US  
DATE OF DEPOSIT WITH POSTAL SERVICE: September 29, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. \$1.10 on the date indicated above, and is addressed to the COMMISSIONER OF PATENTS, P.O. Box 1450, Alexandria, VA 22313-1450.

Caren Burgoon

Typed Name of Person Mailing Paper or Fee



Signature of Person Mailing Paper or Fee

Re: U.S. Patent Application No. 10/528,603 ✓  
(National Phase of International  
Patent Application No. PCT/GB2003/004062  
Entitled: Solubilising Polysaccharides  
Substituted with Hydrophilic and  
Hydrophobic Groups  
International Filing Date: 22 September 2003  
Earliest Claimed Priority Date: 20 September 2002  
Our File No. 0380-P03604US00

10/05/2005 MKAYPAGH 00000122 10528603

01 FC:1617

130.00 0P

**Enclosures:**

- Transmittal Letter to the DO/EO/US Concerning a Filing Under 35 U.S.C. §371 (in duplicate)
- Copy of Notification of Missing Requirements under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
- Declaration, Power of Attorney and Power to Inspect
- Check in the amount of \$130.00
- Postcard